



Race to the Top

Sub-recipient Monitoring Plan

Summer 2014

Contents

Overview	3
Programmatic Monitoring.....	3
Intermediate Units.....	4
Local Educational Agencies	4
Annual Progress Report and Survey	4
Training Participation Spreadsheet.....	4
Fiscal Monitoring.....	5
Intermediate Units.....	5
LEA Invoice Processes	5
IU Administrative Costs	5
Annual Progress Reports and Surveys.....	6
Local Educational Agencies	6
Vendors and Contractors.....	6
Audits and Reporting	7
Corrective Actions	7
Year 2 Sub-Recipient Monitoring.....	7
Year 3 Sub-Recipient Monitoring.....	8
Proposed Schedule for Year 3 Onsite Monitoring Visits.....	9
Appendix A – Onsite Visit Agenda	10
Appendix B – Statewide System of Support.....	15
Appendix C – LEA Monitoring Survey.....	19
Appendix D – LEA Tracking Sheet.....	20
Appendix E – IU Tracking Sheet, part 1.....	21
Appendix E – IU Tracking Sheet, part 2.....	22
Appendix E – IU Tracking Sheet, part 3.....	25
Appendix E – IU Tracking Sheet, part 4.....	26
Appendix F – IU Monitoring Survey.....	27
Appendix G – Summary Budget.....	28

Overview

Pennsylvania's Race to the Top (RTT) Monitoring Plan addresses both programmatic and fiscal monitoring at the grantee and sub-grantee level with respect to implementation of their approved scopes of work, performance measures, and budget. Pennsylvania's RTT team, including a Director and an Assistant Director, convenes daily to review progress and attends regularly scheduled meetings across the Pennsylvania Department of Education's (PDE) deputates to ensure the successful cohesion of PDE-driven initiatives with grant activities. A total of 29 Intermediate Units and 184 Local Educational Agencies are participating in RTT. Intermediate Units (IU) will assist PDE in the oversight of Local Education Agencies (LEA) in programmatic and fiscal monitoring; however, PDE will oversee all areas of grant administration.

RTT staff communicates with IUs and LEAs through site-visits, phone calls, emails, and surveys to ensure that Pennsylvania monitors progress and provides support to IUs and LEAs. Quarterly emails, sent in September, December, March, and June address frequently asked questions and issues that may arise, as well as important announcements and reminders. All mass communication between PDE and sub-recipients are kept in the Communications Archive found on PDE's RTT webpage. Additionally, Office of Elementary and Secondary Education (OESE) provides frequent communication and technical support to assist LEAs in the implementation of programmatic grant activities. These communications are typically in the form of broadcast announcements, conference calls, and webinars.

During the 2013-2014 school year RTT staff will perform three or four onsite monitoring visits per month with the goal of visiting all 29 IUs and providing a forum to meet with representatives from all 184 participating LEAs. The purpose of a site visit is to facilitate bi-directional communication about the implementation of RTT, which includes a programmatic and fiscal discussion to evaluate the following:

- IU processes for monitoring LEA reimbursements
- Communication between IUs and LEAs
- Alignment of expenditures to approved scopes of work
- Educator Effectiveness training, reporting, and feedback
- Successes and challenges with implementing RTT activities

Appendix A is a template agenda for site visits and demonstrates a qualitative review of RTT implementation at IUs and LEAs. Within a week after each onsite visit, RTT staff will follow up with the IU and LEAs with correspondence to summarize the visit, ask any remaining questions to assist in understanding the quality of RTT implementation to date, and provide feedback/information to relevant PDE project leads. Based on survey responses, expenditures, and correspondence with participants throughout the year, RTT staff will determine which IUs and LEAs would benefit from additional site visits for the 2014-2015 school year. IUs and LEAs considered to be at risk (i.e. minimal or no invoice submissions) will be prioritized for a site visit, phone call, or other correspondence to support their success.

Programmatic Monitoring

Programmatic monitoring involves oversight of IUs and LEAs. Pennsylvania's RTT staff works closely with OESE, the Educator Effectiveness Team, and the IUs to support LEAs in achieving

their desired goals and outcomes as described in their scopes of work. While tracking allows PDE to monitor training, onsite visits provide an accurate assessment of implementation as well as a qualitative review opportunity to ensure implementation of projects is of high quality.

Intermediate Units

IUs serve as the primary source of Educator Effectiveness training and professional development through the Statewide System of Support (SSS). The SSS is a PDE-designed, secure, web-based tool for reporting on LEA training and professional development on Educator Effectiveness (Appendix B, SSS template). Accountability for IU-provided efforts begins with a clearly defined, jointly agreed upon statement of work between the IUs and PDE. The deliverables associated with the statement of work are the basis for data collection and accountability of each deliverable. On a quarterly basis, project leads within PDE meet and review the data submitted by the IUs. Data from training on the evaluation framework and inter-rater reliability includes: the type of training, date of training, the number of participants, and the names of districts and charters participating. If an IU appears off-course with meeting deliverables, the project lead contacts the IU to resolve the issue. At any time, IUs may be asked to provide substantiating data (copies of participant evaluations, handouts used in training, etc.) as desired by the PDE project lead.

Local Educational Agencies

Participating LEAs are required to adopt and implement Pennsylvania's Educator Effectiveness Instruments and use the teacher/principal evaluation process and results to inform local decisions regarding professional development and staff retention in support of student achievement and the assurances conveyed in their scopes of work. LEAs are invited to participate in projects such as the Online Course Catalog (OCC) and the Math Design Collaborative (MDC), as well as data pilots. The performance measures and professional development requirements for LEA RTT participants relate directly to the training and implementation of the Educator Effectiveness Instruments, and RTT staff is tracking the professional development (40 self-paced on-line courses aligned to Danielson) consumed on the SAS portal. LEAs are monitored in three ways: annual progress updates; surveys; and a training tracking spreadsheet.

Annual Progress Report and Survey

LEAs are required to complete and submit an annual progress report and survey by September 30 of each year. The purpose of these documents for programmatic monitoring is to gather qualitative and quantitative information on LEAs activities, successes, and challenges in meeting their scopes of work, performance measures, and RTT grant requirements from the previous school year. Reports and surveys are carefully reviewed by the RTT team upon receipt and forwarded to project leads as necessary. Additional information is requested as needed to verify accuracy and legitimacy of LEAs' programmatic activities and expenditures. These data assist the RTT team in determining if a site visit or follow-up phone call is required and to ascertain the success and challenges of PDE's programmatic implementation of the grant. (Appendix C, LEA annual progress report and survey)

Training Participation Spreadsheet

Where training/professional development on evaluation rubrics is self-guided and available in an asynchronous venue via the SAS portal, PDE utilizes vendor reports that provide usage of these RTT-supported resources. The RTT team maintains a spreadsheet to document LEA

participation in training to ensure LEAs are meeting performance measures for training and evaluating both teachers and principals. (Appendix D, LEA training tracking spreadsheet)

Fiscal Monitoring

Fiscal monitoring involves oversight of IUs and LEAs and their expenditures, encumbrances, and balances of funds by the RTT team and the Office of Budget and Fiscal Management. PDE was awarded \$41,326,339 in federal funds as part of the RTT grant with \$20,663,169 of that total sub-awarded to RTT LEAs. Unique accounting codes were assigned to the RTT grant providing assurance that funds will be tracked separately from state and other federal funds.

RTT funds are reimbursement-based. IUs review LEA expenses before submitting invoices and expenditures to PDE. Additionally, the RTT team reviews each submission to ensure allowable expenses and alignment to each LEA's scope of work before payment is submitted to Comptroller Operations. Alignment of LEAs' expenses to their approved scope of work is reviewed at time of submission. RTT staff reviews and processes invoices bi-monthly. Payment controls are established through Pennsylvania's electronic funds tracking system and the request cannot exceed the approved award amount. Fiscal monitoring will be comprehensive to include all participants; however, priority attention will be given to LEAs based on risk factors such as failure to expend funds and submission of funds inconsistent with approved scopes of work.

Intermediate Units

Pennsylvania established a grant agreement with the 29 IUs for the purpose of providing sub-grants to LEAs to reimburse them for eligible costs related to Educator Effectiveness training and implementation. IUs are fiscally monitored through a review of the following: LEA invoice processes; IU administrative costs; and annual expense reports. The LEA invoice process, IU administrative costs, and annual expense reports allow RTT staff to review expenditures and ensure alignment to their approved scopes of work.

LEA Invoice Processes

The LEA invoice process requires IUs to review LEA requests for reimbursement prior to submission to PDE. This review addresses allowable expenditure categories and amounts based on sub-awards. IUs are required to maintain documentation to support LEA and/or IU expenditures, which is kept on file and available for PDE review by request. Because LEAs are permitted to amend their budgets (by providing a rationale for the proposed change, as long as the change is an allowable expense), IUs are also tasked with monitoring expenditure adjustments and verifying compliance with the sub-grant agreement. The invoices submitted by IUs on behalf of the LEAs are carefully reviewed by the RTT team upon receipt. (Appendix D, LEA training tracking spreadsheet)

IU Administrative Costs

Each IU is allotted a percentage of Pennsylvania's portion of RTT funds for administrative costs. PDE monitors these costs, as not to exceed allotted amounts, by reviewing invoices as they are submitted for reimbursement.

Annual Progress Reports and Surveys

IUs submit an annual progress report and survey by September 30 of each year. The purpose of the annual progress report and survey is to show the status of an IU's RTT funds, hold IUs fiscally accountable, and provide an opportunity for feedback and follow-up. The survey is designed to ensure proper technical assistance, offer support to the IUs, and also to provide bi-directional communication on implementation. Reports and surveys are carefully reviewed by the RTT team upon receipt, and additional information is requested as needed to verify accuracy and legitimacy of LEA expenditures. These data assist the RTT team in determining if a site visit or follow-up phone call is required and to ascertain the successes and challenges of PDE implementation of the grant. (Appendix F, IU annual progress report and survey)

Local Educational Agencies

LEAs were required to complete a scope of work (SOW) when they completed their RTT application in eGrants. Each SOW was reviewed for accuracy and alignment to the RTT grant application. If the SOW was approved, LEAs then signed a sub-agreement with their IU that conveyed the following description and allowable expenses:

RTT grant monies may be used for any expense incurred through participation in related professional development provided by: 1) the IU or approved provider (training intended primarily for superintendents, central office staff, and principals); or 2) the grantee and/or asynchronous SAS modules (training intended primarily for teachers and specialists). Funds may also be used for costs associated with the implementation of the Educator Effectiveness Instrument. Eligible expenditures include:

1. *Purchased professional services*
2. *Facilities and material fees*
3. *Travel*
4. *Salaries and benefits associated with release time*
5. *Development of additional measures*
6. *Equipment*
7. *Licensing*

Upon receiving an LEA's invoice from the IU, the RTT team reviews the expenditures to ensure alignment to the SOW before reimbursement is submitted. LEAs have the opportunity to revise their expenditures and SOW activities. These revisions are allowable if they are within the chart of accounts provided in their eGrants application and LEA sub-grant agreement; however, documentation with a rationale to support proposed changes must be provided. (Appendix G, chart of accounts)

Vendors and Contractors

Contracts with vendors and contractors will be reviewed before approval to ensure alignment with LEAs' scope of work, budget, and performance measures. Payment approval will be overseen by the RTT team to ensure deliverables have been met and billing is aligned with the original contract. Contractors submit weekly and/or monthly status reports highlighting major accomplishments/activities, issues and risks, and current action items. If revisions or amendments to contracts or agreements are necessary, PDE project leads and the RTT team will work closely to determine a course of action. Any changes with contractors are discussed by RTT staff and appropriate project leads/PDE personnel to ensure we receive the deliverables outlined in the scope of work and budget.

Audits and Reporting

The Office of Management and Budget, Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations (OMB Circular A-133), as amended, requires all non-federal entities that expend \$500,000 or more of Federal Awards in a year have a Single or Program-Specific Audit conducted for that year. The Office of Budget, Office of Comptroller Operations, Bureau of Audits (BOA), first receives all Pennsylvania's OMB A-133 Audit Reports for review prior to distributing to the appropriate Commonwealth Agency, and has opportunity to identify any critical, systemic or ongoing/persistent problems. RTT funds are also subject to Education Department General Administrative Regulations (EDGAR) and the reporting requirements associated with the Federal Funding Accountability and Transparency Act (FFATA).

The PDE, Bureau of Budget and Fiscal Management, Audit Section, receives all A-133 Audit Reports along with the Corrective Action Plans applicable to PDE from BOA for review and finalization. Additionally, the Audit Section reviews the sub-recipient's Schedule of Expenditures of Federal Awards (SEFA) for inconsistent reporting of federal funding that had passed through PDE. All applicable findings are resolved and all funding inconsistencies are analyzed and reconciled prior to the closure of the A-133 Audit Reports by the Audit Section.

Corrective Actions

PDE and the RTT Team are committed to making every effort to assist IUs and LEAs in meeting goals and outcomes associated with acceptance of the RTT grant. Critical issues such as fraud, waste, and abuse are immediately communicated to Division, Bureau, and Office leadership, including the Deputy Secretary for Administration, and the Office of Chief Counsel. For critical issues, once enough facts have been established to create a reasonable belief that serious irregularities exist, PDE's Office of Chief Counsel notifies the applicable entities. Non-critical issues are addressed by program staff, unless they are not able to resolve in a reasonable period of time, at which point they may become critical.

Year 2 Sub-Recipient Monitoring

RTT staff will perform onsite monitoring visits to all 29 IUs and will meet with all 184 participating LEAs in Year 2. The purpose of these visits is to examine implementation of grant activities and offer support for meeting the performance measures outlined in the grant. Onsite monitoring visits will also provide an opportunity to communicate fiscal and programmatic information to IUs and LEAs.

While onsite, the following documentation may be collected:

- Copies of the signed grant agreements between the IU and participating LEAs
- Evidence of IHE engagement
- Indication of educator effectiveness training
- Surveys and/or aggregate feedback from educator effectiveness training

- Useful resources for implementing grant activities
- Support documentation for submitted invoices

After the onsite monitoring visit, RTT staff will complete a mixed methods survey of qualitative and quantitative data to reflect on the constructiveness of the meeting. This reflective piece will dictate how RTT staff will follow-up and assist the IU and/or LEA moving forward.

Year 3 Sub-Recipient Monitoring

RTT staff fulfilled the commitment of performing onsite monitoring visits to all 29 IUs and meeting with all 184 LEA participants in Year 2 (13/14 SY). Onsite monitoring visits in 14/15 SY will continue to provide an opportunity to communicate fiscal and programmatic information to IUs and LEAs concomitant with receiving formative input. In Year 3, onsite monitoring visits will be determined by the following criteria:

- Limited expenditures to date (high balance)
- Low performance measures
- Assistance for IUs/LEAs needing improvement in addressing fiscal processes as demonstrated by missing quarterly reports, irregular invoice submissions
- Assistance for IUs/LEAs who have demonstrated limited communication with PDE
- Evidence of exemplary implementation of grant-related activities such as:
 - Educator Effectiveness training
 - Software application (i.e. PA-ETEP)
 - Online/hybrid learning
 - SAS usage (i.e. iTunes U, CDTs, VMC)
 - IHE engagement
 - Use of Academic Recovery Liaisons (ARLs) for lowest-performing LEAs (those designated as “priority” schools)
 - MDC implementation
- IUs actively involved with helping participants meet performance measures
- Top three LEAs with largest allocations (Philadelphia, Pittsburgh, Allentown)
- Spot checks to collect evidence from various regions (urban, rural, large, small, charters, etc.)

When applicable and appropriate, onsite visits will include meeting with principals and teachers to survey the fidelity of educator effectiveness implementation, as well as other grant activities, at selected LEAs. IU executive staff will be interviewed and/or surveyed to gain greater insight and understanding of communication and the effectiveness of training and implementation.

Expectations for Year 3 onsite monitoring visits to IUs and LEAs are communicated at least one month in advance through emails and phone calls. RTT staff maintains a checklist of required evidence that performance measures are being met. After each onsite visit, submitted evidence is reviewed, and RTT staff follows-up with individual LEAs who need specific support or are missing information. The onsite monitoring visit schedule for 14/15 SY will be set through June 2015, and monitoring for the 14/15 SY will begin in September 2014.

Proposed Schedule for Year 3 Onsite Monitoring Visits

Month	Rationale	Location
September	High balances with few expenditures Preparation for USDE onsite visit	
October	High balances with few expenditures Unmet performance measures	
November	Largest allocations	
December	LEAs exemplary implementation of grant activities (EE training, software application, online/hybrid learning, SAS usage)	
January	Focus and priority LEAs employing Academic Recovery Liaisons (ARLs)	
February	Math Design Collaborative	
March	iTunes U	
April	Early Warning System (EWS) Dashboard	
May	Fidelity Implementation Review Support Tool (FIRST)	
June	IUs exemplary implementation of grant activities (EE training, IHE engagement, fiscal processes, overall support)	

Appendix A – Onsite Visit Agenda

Onsite Visit Agenda

IU Monitoring

IU#_____IU

Name_____

Attendees and Titles:

Introductions

Race to the Top Overview

- What is already known about RTT?
- Distribute “Summary of RTT Initiatives” and review
- Q and A

Programmatic Discussion

- How often do you offer training?
- What is the forum for training?
- How is training tracked?
- Are surveys administered after training?
- What feedback have you received?

Fiscal Discussion: IU Administration Process

- How does communication between the IU and LEA transpire?
- What is the frequency of communication?
- What is your process for monitoring LEA submissions?
- How is alignment to the scope of work from participating LEAs verified?
- How are expenditures monitored and tracked?
- How are dates expressed on the invoice template submitted to PDE?

LEA Monitoring

Attendees, Titles, and LEA:

Introductions

RTT Overview

- What is already known about RTT?
- Distribute "Summary of RTT Initiatives" and review
- Q and A

Programmatic Discussion:

- Who is in charge of the RTT implementation at each LEA?
- How do you engage with the SAS portal (including the voluntary model curriculum (VMC) and the classroom diagnostic tools (CDTs)?
- What is your level of interest in the online course catalog (OCC) posted on PDE's website?
- What is your level of interest/familiarity with the math design collaborative (MDC) or common math tasks?
- How would you rate implementation to date?
- How often are trainings attended? Where?
- What is the forum for training?
- How is training tracked?
- Are surveys administered after training?
- What feedback from trainings have you received?
- Successes with implementing D(5) Educator Effectiveness:
- Challenges with implementing D(5) Educator Effectiveness:

Fiscal Discussion:

- How are you ensuring alignment to your SOW?
- How are your expenditures facilitating a successful implementation of Educator Effectiveness?
- Have you had to make any revisions to your SOWs? If so, what is your process?

Appendix B – Statewide System of Support

Statewide System of Support Landing Page

The screenshot shows the SAS landing page with a blue header containing the Pennsylvania Department of Education logo, 'SAS Standards Aligned System', and navigation links like 'Welcome, JR', 'Logout', 'Admin Tools', 'Teacher Tools', 'Home', and 'Help'. A search bar is also present. Below the header is a navigation menu with tabs for 'Standards', 'Assessment', 'Curriculum Framework', 'Instruction', 'Materials & Resources', and 'Safe & Supportive Schools'. A secondary menu includes 'Data Entry', 'SSS Reports', and 'Dept. SS Reports'.

Statewide System of Support

The need for districts to focus on continuous improvement is supported by the Standards Aligned System (SAS). Whether or not a district has made adequate yearly progress (AYP), support and guidance from IU professionals in utilization of SAS and other school improvement strategies promote increased student achievement. To support the Statewide System of Support throughout the Commonwealth, funding will be provided to each IU to dedicate personnel to deliver services centered around the PDE goals defined below. PDE requires that IUs identify a coordinator for the initiative and personnel who will be engaged in the project. IUs should also identify the level of training for each and verify demonstration of capacity as related to the PDE goals.

IUs will be expected to develop a plan to deliver technical assistance and guidance to all member districts and schools, including those who made AYP. Intermediate unit personnel will support districts to achieve the goals as defined below. It is, however, understood that IUs may set priorities based upon capacity and member district needs within each IU. Use these tools to support your work in the Statewide System of Support.

The Statewide System of Support Action Plan Template is available in the [Statewide System Of Support PLC](#)

Statewide System of Support

Data Entry

Enter and Submit Statewide System of Support Information

Reports

Run User-Defined Reports

Department of Safe Schools

Data Entry

Enter and Submit Dept. of Safe Schools Form

Reports

Run User-Defined Reports

Copyright © 2013 Commonwealth of Pennsylvania | About SAS | Contact Us | Terms of Use | FAQ

Data Entry Form to Record Deliverables and Attendance (Page 1 of 2)

★ PDE Initiative

eMetric, PVAAS, School Profile and SAS Portal Training and Technical Assistance

★ Deliverables

eMetric, PVAAS, School Profile and SAS Portal Training and Technical Assistance

The Intermediate units will:

- ☐ IU personnel will attend trainings as needed to understand and remain abreast of features, functionality, methodology, and application of eMetric, PVAAS, SAS portal, and School Profile.
- ☐ IU personnel, as requested by PDE, will participate in focus and advisory groups to provide feedback to PDE as related to these four initiatives.
- ☐ IUs will perform a needs assessment of member districts and follow up with a plan to deliver and document services in these areas throughout the year.
- ☐ IU personnel will provide updates to LEAs on eMetric, PVAAS, School Profile, and the SAS Portal.
- ☐ As determined by the member district needs assessment, IU personnel will deliver services on an IU-wide or district/school specific level. Services could include any of the following:
 Provide overview session(s) on eMetric, PVAAS, School Profile, and the SAS Portal to district/building administrators and regular/special teachers.
 Integrate the use of eMetric, PVAAS, School Profile, and the SAS Portal into the IU's offerings of professional development and technical assistance services as appropriate.
 Provide consultation and technical assistance to LEAs through data analysis (and use of eMetric, PVAAS, School Profile, and the SAS Portal) to identify root cause and priority needs.
 Provide training to educators in using eMetric, PVAAS, School Profile, and the SAS portal to support effective instruction and to improve teaching and learning.
 Support LEAs on the integration of eMetric, PVAAS, School Profile, and the SAS portal as tools for planning and instructional improvement.
 Provide training and technical assistance on specific topics such as: eMetric and PVAAS applications to specific programs, Classroom Diagnostic Tool Training, SAS Curriculum Mapping Tool, development of SAS Professional Learning Communities, use of School Profile scores in aligning and addressing achievement goals.
 Identify effectiveness of best practice strategies in member schools and facilitate forums to share throughout the IU districts.
 Provide feedback to PDE on district use.

Intermediate Unit: Tuscarora IU 11

Data Entry Form to Record Deliverables and Attendance (Page 2 of 2)

*** IU Staff:**

Bickford, Susan

Add Additional Staff Member(s):

There are no additional coordinators selected for this initiative.

Add

*** Starting Date of Service (mm/dd/yyyy)** 7/17/2013

*** Ending Date of Service (mm/dd/yyyy)** 7/17/2013

*** Brief Description of Session/Goals/Objectives (Maximum length 1600 characters)**
NOTE: This value will display as the initiative description on the options page.


*** Type of Service**

☐ Training/Professional Development

☐ Consulting

☐ Other

Attendance Worksheet

District	Central Admin	Building Admin	Teachers	Others
 Parkland School District	3	4	11	2

Add Additional Districts to the Attendance Worksheet

Search

Attachments

There are no attachments identified for this initiative.

Add

Additional Comments (optional)

Example Report of Number of IU Trainings Done

eMetric, PVAAS, School Profile and SAS Portal Tr July 1, 2012-June 30, 2013

Deliverable:

As determined by the member district needs assessment, IU personnel will deliver services on an IU-wide or district/school specific level. Services could include any of the following:

- Provide overview session(s) on eMetric, PVAAS, School Profile, and the SAS Portal to district/building administrators and regular/special teachers.
- Integrate the use of eMetric, PVAAS, School Profile, and the SAS Portal into the IU's offerings of professional development and technical assistance services as appropriate.
- Provide consultation and technical assistance to LEAs through data analysis (and use of eMetric, PVAAS, School Profile, and the SAS Portal) to identify root cause and priority needs.
- Provide training to educators in using eMetric, PVAAS, School Profile, and the SAS portal to support effective instruction and to improve teaching and learning.
- Support LEAs on the integration of eMetric, PVAAS, School Profile, and the SAS portal as tools for planning and instructional improvement.
- Provide training and technical assistance on specific topics such as: eMetric and PVAAS applications to specific programs, Classroom Diagnostic Tool Training, SAS Curriculum Mapping Tool, development of SAS Professional Learning Communities, use of School Profile scores in aligning and addressing achievement goals.
- Identify effectiveness of best practice strategies in member schools and facilitate forums to share throughout the IU districts.
- Provide feedback to PDE on district use.

Region	IU Name	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
1	Bucks County IU 22	0	0	0	1	1	0	0	1	0	0	0	0
1	Chester County IU 24	0	2	3	3	3	1	1	1	0	0	0	0
1	Delaware County IU 25	0	0	0	0	1	0	2	4	0	0	0	0
1	Montgomery County IU 23	0	0	0	1	0	0	0	0	0	0	0	0
1	Philadelphia IU 26	0	0	0	0	0	0	0	0	0	0	0	0
2	Berks County IU 14	4	1	3	5	4	1	2	5	2	0	3	0
2	Carbon-Lehigh IU 21	0	0	2	1	0	0	0	0	0	0	1	0
2	Schuylkill IU 29	0	1	0	5	1	1	0	2	0	0	3	0
3	Colonial IU 20	0	0	0	0	0	0	0	0	0	0	0	0
3	Luzerne IU 18	0	3	3	13	6	2	3	15	10	5	12	1
3	Northeastern Educational IU 19	0	0	0	2	2	0	2	1	0	1	2	0
4	BLAIST IU 17	0	2	1	2	2	3	3	4	0	1	0	0
4	Central Susquehanna IU 16	0	10	5	14	13	9	10	8	4	7	34	13
4	Seneca Highlands IU 9	0	2	2	4	2	0	1	3	1	3	0	0
5	Capital Area IU 15	1	3	1	7	4	0	3	1	1	0	0	0
5	Lancaster-Lebanon IU 13	1	0	1	0	1	0	0	3	0	0	0	0
5	Lincoln IU 12	0	1	1	6	2	1	1	1	1	7	0	0
6	Appalachia IU 8	1	3	0	6	4	0	0	0	1	0	0	1
6	Central IU 10	0	0	0	0	0	0	0	0	1	0	0	0
6	Tuscarora IU 11	2	1	1	0	0	1	0	0	2	0	1	0
7	ARIN IU 28	0	1	1	2	0	2	0	2	1	2	1	0
7	Intermediate Unit 1	0	0	0	0	0	0	0	0	1	0	0	0
7	Westmoreland IU 7	0	1	1	3	5	0	1	0	0	0	2	1
8	Midwestern IU 4	0	2	0	1	1	0	0	0	1	0	0	0
8	Northwest Tri-County IU 5	1	2	2	11	4	1	7	3	3	4	4	2
8	Riverview IU 6	0	1	0	1	2	1	1	0	1	0	1	0
9	Allegheny IU 3	0	0	3	15	6	2	1	0	2	0	1	0
9	Boomer Valley IU 27	0	1	0	1	1	1	0	1	0	0	0	0
9	Pittsburgh-Mt. Oliver IU 2	0	0	0	0	0	0	0	0	0	0	0	0
Totals:		10	37	30	104	65	25	38	55	32	30	65	19

Appendix C – LEA Monitoring Survey

Race to the Top Monitoring Survey, LEAs

1. On a scale of 1-5, five being best, how would you rate the implementation of Educator Effectiveness?
2. How many students are enrolled in PDE-certified STEM-related online courses?
3. _____% of students enrolled in PDE-certified STEM-related online courses that complete and pass PDE-certified STEM-related online courses
4. Educator Effectiveness training and evaluation:
 - a. _____% of teachers trained on the teacher evaluation rubric.
 - b. _____% of principals trained on the teacher evaluation rubric.
 - c. _____% of principals trained on the principal evaluation rubric.
 - d. _____% of superintendents trained on the principal evaluation rubric.
 - e. _____% of teachers evaluated on the teacher evaluation rubric.
 - f. _____% of principals evaluated on the principal evaluation rubric.
 - g. _____% of educators using the professional development modules associated with the new evaluation system within the SAS portal.
5. What support would be helpful for implementing educator effectiveness?

Appendix D – LEA Tracking Sheet

RTT LEA Training Tracking 6-21-13 - Microsoft Excel

AUN														
</														

Appendix E – IU Tracking Sheet, part 1

IU Tracking Sheet - Microsoft Excel

File Home Insert Page Layout Formulas Data Review View Acrobat

Cut Copy Paste Format Painter Clipboard Font Alignment Number Styles Cells Editing

Calibri 11 A A Wrap Text General Currency 2 Currency 3 Normal 2 Normal Bad Good Neutral Calculation Check Cell Explanatory... Insert Delete Format Clear Sort & Find & Filter Select

A31 fx

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1															
2			20,663,170	LEA Ammt		Beg Date	12/22/11				Total Spent	557,796.74			
3			658,738	IU Ammt		Today	06/21/13	Ok							
4			\$21,321,908	Total		Max date	03/28/13	Ok							
5			Ok			Min date	02/25/12	Ok							Ok
6	IU	Allocation	Funding Type	LOCAL EDUCATION AGENCY	AUN	Expenditure Date	Amount	Faction	Object	Description	Invoice#	Total	Remaining		
7	1	\$36,942	IU Administrative Cost	Intermediate Unit 1	101000000							0.00	\$6,942.00		
8	1	\$156,291	Participating LEA Award	ALBERT GALLATIN AREA SCHOOL DISTRICT	101260303							0.00	188,291.00		
9	1	\$101,274	Participating LEA Award	LAUREL HIGHLANDS SCHOOL DISTRICT	101264003							0.00	101,274.00		
10	1	\$135,039	Participating LEA Award	UNIONTOWN AREA SCHOOL DISTRICT	101288003							0.00	135,039.00		
11	1	\$25,450	Participating LEA Award	CARMICHAEL'S AREA SCHOOL DISTRICT	101301303							0.00	25,450.00		
12	1	\$39,046	Participating LEA Award	CENTRAL GREENE SCHOOL DISTRICT	101301403							0.00	39,046.00		
13	1	\$10,228	Participating LEA Award	JEFFERSON MORGAN SCHOOL DISTRICT	101303603							0.00	10,228.00		
14	1	\$35,875	Participating LEA Award	WEST GREENE SCHOOL DISTRICT	101308603							0.00	35,875.00		
15	1	\$25,256	Participating LEA Award	CHARLEROI SCHOOL DISTRICT	101631803							0.00	25,256.00		
16	1	\$11,250	Participating LEA Award	FORT CHERRY SCHOOL DISTRICT	101632403							0.00	11,250.00		
17	1	\$6,775	Participating LEA Award	PETERS TOWNSHIP SCHOOL DISTRICT	101636603							0.00	6,775.00		
18	1	\$49,340	Participating LEA Award	RINGGOLD SCHOOL DISTRICT	101637002							0.00	49,340.00		
19	1	\$51,558	Participating LEA Award	WASHINGTON SCHOOL DISTRICT	101638803							0.00	51,558.00		
20	2	\$7,662	IU Administrative Cost	Pittsburgh Mt Oliver IU 2	102000000							2,000.00	\$5,662.00		
21				Pittsburgh Mt. Oliver IU #2	102000000	03/13/13	\$2,000.00	2510	330	IU Administrative Costs	Inv 1				
22	2	\$1,377,821	Participating LEA Award	PITTSBURGH SCHOOL DISTRICT	102027451							218,491.34	1,139,329.66		
23	3	\$58,237	IU Administrative Cost	Allegheny IU 3	103000000							0.00	58,237.00		
24	3	\$16,646	Participating LEA Award	ALLECHENY VALLEY SCHOOL DISTRICT	103020603							0.00	16,646.00		
25	3	\$35,395	Participating LEA Award	CLAIRTON CITY SCHOOL DISTRICT	103021903							0.00	35,395.00		
26	3	\$14,922	Participating LEA Award	CORNELL SCHOOL DISTRICT	103022103							0.00	14,922.00		
27	3	\$4,698	Participating LEA Award	Penn Hills Charter School of Entrepreneurship	103022481							0.00	4,698.00		
28	3	\$57,917	Participating LEA Award	DUQUESNE CITY SCHOOL DISTRICT	103022503							0.00	57,917.00		
29	3	\$40,652	Participating LEA Award	EAST ALLEGHENY SCHOOL DISTRICT	103022803							0.00	40,652.00		
30	3	\$26,245	Participating LEA Award	ELIZABETH FORWARD SCHOOL DISTRICT	103023153							0.00	26,245.00		
31	3	\$53,780	Participating LEA Award	HIGHLANDS SCHOOL DISTRICT	103024753							0.00	53,780.00		
32	3	\$25,522	Participating LEA Award	KEYSTONE OAKS SCHOOL DISTRICT	103025002							0.00	25,522.00		
33	3	\$185,762	Participating LEA Award	MCKEESPORT AREA SCHOOL DISTRICT	103026002							0.00	185,762.00		
34	3	\$25,754	Participating LEA Award	MONTOUR SCHOOL DISTRICT	103026303							0.00	25,754.00		
35	3	\$102,538	Participating LEA Award	PENN HILLS SCHOOL DISTRICT	103027352							0.00	102,538.00		
36	3	\$26,972	Participating LEA Award	PLUM BOROUGH SCHOOL DISTRICT	103027503							0.00	26,972.00		
37	3	\$13,635	Participating LEA Award	RIVERVIEW SCHOOL DISTRICT	103028203							0.00	13,635.00		
38	3	\$48,791	Participating LEA Award	SHALER AREA SCHOOL DISTRICT	103028302							0.00	48,791.00		

Sheet1 Sheet2 Sheet3

Appendix E – IU Tracking Sheet, part 2

Appendix E1, IU Tracking Sheet, p2, Intermediate Unit Administration

General Instructions

- The IU must keep documentation on file to support the attached expenditures.
- Please provide this information in Excel format (not print, PDF, image).

Expenditure Sheet

- List each LEA separately on the expenditure sheet
- Include AUN number
- Administrative costs must be listed as their own line item

Invoice Sheet

- Provide an invoice number
- Subtotal LEA expenses and report
- Subtotal IU Administrative expenses
- Total LEA expenses and IU Administrative expenses

PDE will utilize IUs to support the RTT3 initiatives. IU's will serve in two distinct roles.

The IUs will act as a contractor providing services to PDE, providing professional development to LEAs in standards and assessments, teacher and principal evaluation tools and processes, and related initiatives.

In addition to contracted work, the IUs will reimburse funds to districts and charters who were awarded RTT3 grants. In this capacity, IUs will distribute funds to LEA based on the grant and sub-grant agreements on a reimbursement basis for eligible expenditures.

Process Overview

- IUs receive grant agreements from PDE. This agreement is between PDE and the IUs.
- IUs will reimburse funds to districts and charters.
- LEAs will submit expenditures to IUs to review.
- IUs will aggregate eligible expenditures and submit reimbursement requests to PDE.

- PDE will then review and initiate payment, which will then flow through the IUs to the LEAs.

Note: IUs are taking NO indirect costs from the funds granted to LEAs – it's a straight pass-through. PDE contracted directly with IUs to provide administrative services (i.e. management of the RTT3 process above). IU's will submit invoices for administrative services as they incur expenses. In order to report on incurred expenses (both SD and IU), invoice templates and expenditure sheets were distributed to each IU.

Expenditure Review

Information like AUNs (9 digits, not 5 or 7) must be accurate as well as the function and object codes. Please double-check.

Descriptions must be detailed enough to answer the following questions:

- Is this consistent with allowable expenses?
- Is this for the purpose of achieving the performance objectives (training & implementing)?
- Is this consistent with general administrative requirements (appropriate use of funds)?
- IUs are to report, in the aggregate, all of their LEAs' expenditures on both the RTT3 Invoice as well as the supporting RTT3 Expense Reporting Template. Since PDE needs to know how the funds are being spent by each LEA, IU's are to record the function/object of each LEA's expenditures as each LEA reported to the IU (and not as 2990/899-Pass through as the IU records on their books). Specific instructions for completing these forms are included in each IU's reporting package. **IUs are to utilize function 2510 and object code 330 to report IU Administrative Expenses** as these expenses are not considered indirect costs. **IU's are NOT to include these 2510-330 expenses on their Schedule of Federal Awards as they are not reportable as such.**
- Acceptable Descriptions - Key Words s/b in descriptions: ("Teacher" or "Principal" or "Educator") AND ("Effectiveness" or "Evaluation")
 - "Salaries (or benefits, or substitutes) for Teacher/Principal effectiveness training"
 - "Professional development on Teacher/Principal effectiveness"
 - "Supplies or contracted services for Teacher/Principal evaluation software"

- Unacceptable Descriptions
 - “Salaries (or benefits, or substitutes)”
 - “Training or Professional development”
 - “Supplies or Contracted services”
 - “RTT3”

In short, the RTT3 funds are used to support training and implementation of the new evaluations, not on general PD. If you’re questioning whether the expense is allowable or not, err on the side of caution and use other funds to support those marginally-related expenses and use the RTT3 funds only for those expenses **DIRECTLY** related to **TRAINING** and/or **IMPLEMENTATION** of **EDUCATOR EFFECTIVENESS**.

Dates

As a reminder, “The term of this Agreement shall be from July 1, 2012 through September 30, 2015.”, therefore expenses should not be for expenses prior to 07/01/2012 and expenses submitted should not be for future dates (anticipated expenses), rather actual expenses incurred, as this is a reimbursement grant.

IU structure – regional coordinators

For Race to the Top Grant administration purposes only (reimbursement request, grant guidelines, etc.), PDE works through the 29 IU Business Offices directly, as there were 29 grant agreements. LEAs will submit invoices to their IU, per the process outlined above.

PDE communication on Educator Effectiveness initiatives – the work LEAs must do to fulfill their grant agreements and meet performance objectives – is via the IU Regional Coordinators assigned to Educator Effectiveness. These communications flow from PDE’s Educator Effectiveness Workgroup, to the IU Regional Coordinators, to the IUs within their region, who coordinate activities and communications to the LEAs. This is in addition to any direct statewide communication from the Educator Effectiveness workgroup to LEAs you may receive.

Appendix E – IU Tracking Sheet, part 3

**Intermediate
Unit
Address**

|

Intermediate Unit 1 Invoice

TO:	PA Department of Education Sherry Zerbe Race to the Top Executive Policy Specialist shezerbe@pa.gov 717.214.5433
FOR:	Subtotal LEA Expenses for Race to the Top \$ <input style="width: 100px; text-align: right;" type="text" value="1,000.00"/>
FOR:	Subtotal IU Administrative Expenses for Race to the Top \$ <input style="width: 100px; text-align: right;" type="text" value="\$2,000.00"/>
TOTAL:	Total LEA and IU Administrative Expenses \$ <input style="width: 100px; text-align: right;" type="text" value="\$3,000.00"/>

Intermediate Unit Coding	PDE Coding
FC #	SAP Fund #
SAP Vendor #	Cost Center #
Federal ID #	Internal Order #
	GL Account #
	LOCATION CODE

□

Appendix F – IU Monitoring Survey

Race to the Top Monitoring Survey, IU

IU # _____ IU name: _____

Contact Name: _____ Title: _____

Email: _____ Phone: _____

Date: _____

1. On a scale of 1-5, five being best, how would you rate the programmatic implementation (i.e. Educator Effectiveness training) of Race to the Top?

1 2 3 4 5

2. How are you reviewing scopes of work from LEAs to ensure alignment to their commitments with program implementation and budget?

3. Did you collect all LEA sub-grant agreements?

4. Describe the administrative process for fiscally monitoring participating LEAs.

5. Complete the table on page 2.

